



121203

16569 U.S. PTO

**EXPRESS MAIL LABEL NO. EJ154890682US**

INTELLECTUAL PROPERTY DEPARTMENT  
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22386 U.S. PTO  
10/735018

121203

December 12, 2003

**UTILITY PATENT APPLICATION TRANSMITTAL**Attorney Docket Number: **56704.000109**First Named Inventor: **Matthew Kenneth GRACIE et al.**Title: **SYSTEM AND METHOD FOR CONDUCTING AN OPTIMIZED CUSTOMER IDENTIFICATION PROGRAM**Customer No. **27682**

TO: **MAIL STOP PATENT APPLICATION**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Attached are the following for filing with the U.S. Patent and Trademark Office:

1. ☐ Fee Transmittal Form (original and duplicate)
2. ☐ Small Entity Status Claimed:  

☐ Independent Inventor  
☐ Small Business Concern  
☐ Non-Profit Organization
3. ☒ A utility patent application including 29 pages of specification, 15 pages of claims, 1 page of abstract and 14 sheets of figures.

**MAIL STOP PATENT APPLICATION**

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CLAIMS AS FILED						
	Claims Filed	Basic Fee Claims	Extra	Rate		Amount
				Large Entity	Small Entity	
Total Claims	53	20	33	\$ 18.00	\$ 9.00	\$ 594.00
Independent Claims	5	3	2	\$ 86.00	\$ 43.00	\$ 172.00
First Presentation of Multiple Dependent Claims				\$ 290.00	\$ 145.00	\$ 0.00
<b>BASIC FEE</b>				\$ 770.00	\$ 385.00	\$ 770.00
<b>TOTAL FILING FEE</b>						\$ 1,536.00
Assignment Recordation Fee						\$ 40.00
<b>TOTAL AMOUNT</b>						<b>\$ 1,576.00</b>

4. ☒ Drawings - Total Sheets: 14 (Fig(s). 1-13)
5. Oath or Declaration - Total Pages: 3
- a. ☒ Newly executed (original or copy)  
☐ New (unexecuted)
- b. ☐ Copy from a prior application  
(for continuation/divisional with Box 18 completed)
- i. ☐ DELETION OF INVENTOR(s):  
Signed statement attached deleting inventor(s) named in prior application.
6. ☐ Application Data Sheet
7. ☐ CD-ROM or CD-R in duplicate, large table or Microfiche Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (two copies); or

MAIL STOP PATENT APPLICATION

December 12, 2003

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- ii. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statements verifying identity of above copies
9. ☒ Assignee/Applicant: **Riggs National Corporation**  
**1503 Pennsylvania Avenue NW**  
**Washington, DC 20005**
- ☒ Assignment and Assignment Recordation Form are attached hereto.
- ☐ Assignee of Record in Prior Application Nos. \_\_\_\_\_
10. ☐ 37 C.F.R. 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement with PTO-1449 Form
- ☐ Copies of Information Disclosure Statement Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard and Express Mail Certificate under 37 C.F.R. 1.10
15. ☐ Priority is Claimed as Follows:  
\_\_\_\_\_
- ☐ If Foreign Priority is Claimed, Certified Copy of the Above Priority Document(s) is Submitted Herewith
16. ☐ Nonpublication Request under 35 U.S.C. § 122(b)(2)(B)(i). Applicant must attach Form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_
18. ☐ Continuation ☐ Divisional ☐ Continuation-in-Part of  
Prior Application No.: \_\_\_\_\_ filed \_\_\_\_\_, Prior Application  
No. \_\_\_\_\_ filed on \_\_\_\_\_ and Prior Application No.  
\_\_\_\_\_ filed on \_\_\_\_\_.

Prior application information: Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_

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☐ Incorporation By Reference (useable if Box 5b is marked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application papers.

☐ Complete Application Based on Provisional Application No.: \_\_\_\_\_  
filed \_\_\_\_\_

19. Please address all correspondence to:

☒ CUSTOMER NUMBER 27682

**J. Michael Martinez de Andino, Esq.**  
HUNTON & WILLIAMS LLP  
Riverfront Plaza, East Tower  
951 East Byrd Street  
Richmond, VA 23219-4074

20. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is attached.

21. ☒ A check in the amount of \$ 1,576.00 is enclosed. In the event any variance exists between the amount enclosed and the Patent Office charges, please charge or credit any such variance to **Deposit Account No. 08-3436**.


**MAIL STOP PATENT APPLICATION**

December 12, 2003

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☒ The U.S. Patent and Trademark Office is hereby authorized to charge any deficiencies or overpayment to **Deposit Account No. 08-3436**.

Respectfully submitted,

By:   
David E. Baker, Esq.  
Registration No. 42,285

DEB/lac  
Enclosures

EXPRESS MAIL LABEL NO. EJ154890682US

Attorney Docket No. 56704.000109

Attorney Customer No. 27682

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re US Patent Application of:	)	
	)	
Matthew Kenneth GRACIE et al.	)	
	)	
Application No.: Unassigned	)	Group Art Unit: Unassigned
	)	
Filing Date: December 12, 2003	)	Examiner: Unassigned
	)	
Title: SYSTEM AND METHOD FOR	)	
CONDUCTING AN OPTIMIZED	)	
CUSTOMER IDENTIFICATION	)	
PROGRAM	)	

**CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. §1.10**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

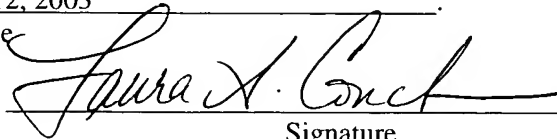
Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service  
with sufficient postage as Express Mail in an envelope addressed to:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on December 12, 2003

Date



Signature

Laura A. Couch

Typed or printed name of person signing Certificate

Documents being submitted with this Certificate of Mailing include:

- Utility Patent Application Transmittal
- Patent Application entitled "System and Method for Conducting an Optimized Customer Identification Program" including 29 pages specification, 15 pages of claims, 1 page of abstract and 14 sheets of Figures (1-13)
- Executed Joint Declaration and Power of Attorney
- Executed Assignment Document and Recordation of Assignment Document Cover Sheet
- Check No. 370885 in the amount of \$1,576.00 which includes \$1,536.00 for the required application fee and \$40 for the Assignment fee
- Self Address Stamped Return Postcard

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